

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No.	10392/460043
First Inventor	Steven M.H. WALLMAN
Title	Method and Apparatus for Enabling Individual or Smaller Investors or Others to Create and Manage a Portfolio of Securities or Other Assets or Liabilities on a Cost Effective Basis
Express Mail Label No.	

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.  
See 37 CFR 1.27.
- Specification [Total Pages 78]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- Drawing(s) (35 U.S.C.113) [Total Sheets 16]
- Oath or Declaration [Total Pages 2]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 C.F.R. §3.73(b) Statement  Power of (when there is an assignee) Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: Power of Attorney or Authorization of Agent

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No: 09 / 139,020  
Prior application information: Examiner Alain L. Bashore Group / Art Unit: 3624

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label  Correspondence address below  
(Insert Customer No. or Attach bar code label here)

Name	Bradley J. Meier KENYON & KENYON				
Address	1500 K Street, N.W. Suite #700				
City	Washington	State	D.C.	Zip Code	20005
Country	USA	Telephone	(202) 220-4200		Fax (202) 220-4201

Name (Print/Type)	Bradley J. Meier	Registration No. (Attorney/Agent)	44,236
Signature			Date July 28, 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

15535 U.S. PTO  
10/627626

07/28/03

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

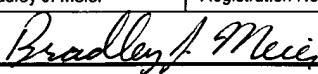
TOTAL AMOUNT OF PAYMENT (\$)

750

Complete if Known	
Application Number	Div. of 09/139,020
Filing Date	July 28, 2003
First Named Inventor	Steven M.H. WALLMAN
Examiner Name	Alain L. Bashore
Group / Art Unit	3624
Attorney Docket No.	10392/460043

METHOD OF PAYMENT (check all that apply)				FEE CALCULATION (continued)					
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None <input checked="" type="checkbox"/> Deposit Account				<b>3. ADDITIONAL FEES</b> <b>Large Entity      Small Entity</b>					
Deposit Account Number <div style="border: 1px solid black; padding: 2px; width: 300px; margin-bottom: 10px;">11-0600</div> Deposit Account Name <div style="border: 1px solid black; padding: 2px; width: 300px;">Kenyon &amp; Kenyon</div> The Commissioner is authorized to: (check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.				Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
				1051	130	2051	65	Surcharge - late filing fee or oath	
				1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
				1053	130	1053	130	Non-English specification	
				1812	2,520	1812	2,520	For filing a request for reexamination	
				1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
				1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
				1251	110	2251	55	Extension for reply within first month	
				1252	410	2252	205	Extension for reply within second month	
				1253	930	2253	465	Extension for reply within third month	
				1254	1,450	2254	725	Extension for reply within fourth month	
				1255	1,970	2255	985	Extension for reply within fifth month	
				1401	320	2401	160	Notice of Appeal	
				1402	320	2402	160	Filing a brief in support of an appeal	
				1403	280	2403	140	Request for oral hearing	
				1451	1,510	1451	1,510	Petition to institute a public use proceeding	
				1452	110	2452	55	Petition to revive - unavoidable	
				1453	1,300	2453	650	Petition to revive - unintentional	
				1501	1,300	2501	650	Utility issue fee (or reissue)	
				1502	470	2502	235	Design issue fee	
				1503	630	2503	315	Plant issue fee	
				1460	130	1460	130	Petitions to the Commissioner	
				1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
				1806	180	1806	180	Submission of Information Disclosure Stmt	
				8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
				1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
				1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))	
				1801	750	2801	375	Request for Continued Examination (RCE)	
				1802	900	1802	900	Request for expedited examination of a design application	
				Other fee (specify)					
				*Reduced by Basic Filing Fee Paid				SUBTOTAL (3)	(\$ 0)

\*\*or number previously paid, if greater; For Reissues, see above

SUBMITTED BY						Complete (if applicable)
Name (Print/Type)	Bradley J. Meier	Registration No. Attorney/Agent	44,236	Telephone	202/220-4200	
Signature					Date	July 28, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.